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## NOTICE OF ALLOWANCE AND FEE(S) DUE

7590

05/13/2008

General Electric Company  
Patrick K. Patnode  
GE Global Research Center, Patent Docket Room 4A59  
P.O. Box 8, Bldg. K-1  
Schenectady, NY 12301

EXAMINER

CRAIG, DWIN M

ART UNIT

PAPER NUMBER

2123

DATE MAILED: 05/13/2008

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/707,657

12/30/2003

James Kenneth Aragonces

61765.005012

1656

TITLE OF INVENTION: SYSTEM AND METHOD FOR MEASURING QUALITY OF BASELINE MODELING TECHNIQUES

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1440	\$300	\$0	\$1740	08/13/2008

**THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.**

**THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.**

### HOW TO REPLY TO THIS NOTICE:

#### I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed ~~SMALL ENTITY~~ status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

**II. PART B - FEE(S) TRANSMITTAL**, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

**III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.**

**IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.**

# **PART B - FEE(S) TRANSMITTAL**

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**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

7590

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GE Global Research Center, Patent Docket Room 4A59  
P.O. Box 8, Bldg. K-1  
Schenectady, NY 12301

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

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I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/707,657	12/30/2003	James Kenneth Aragones	61765.005012	1656

**TITLE OF INVENTION: SYSTEM AND METHOD FOR MEASURING QUALITY OF BASELINE MODELING TECHNIQUES**

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nonprovisional	NO	\$1440	\$300	\$0	\$1740	08/13/2008

EXAMINER	ART UNIT	CLASS-SUBCLASS
CRAIG, DWIN M	2123	703-002000

**1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).**  
☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.  
☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. **Use of a Customer Number is required.**

**2. For printing on the patent front page, list**  
 (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, \_\_\_\_\_  
 (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. \_\_\_\_\_  
 \_\_\_\_\_

## **3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)**

**PLEASE NOTE:** Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☐ Corporation or other private group entity ☐ Government

## **4a. The following fee(s) are submitted:**

- ☐ Issue Fee  
☐ Publication Fee (No small entity discount permitted)  
☐ Advance Order - # of Copies \_\_\_\_\_

## **4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)**

- ☐ A check is enclosed.  
☐ Payment by credit card. Form PTO-2038 is attached.  
☐ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number \_\_\_\_\_ (enclose an extra copy of this form).

## **5. Change in Entity Status (from status indicated above)**

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

**NOTE:** The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature \_\_\_\_\_

Date \_\_\_\_\_

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Registration No. \_\_\_\_\_

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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EXAMINER

CRAIG, DWIN M

ART UNIT

PAPER NUMBER

2123

DATE MAILED: 05/13/2008

## **Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)** (application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 679 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 679 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

**Notice of Allowability**

Application No.

10/707,657

Examiner

DWIN M. CRAIG

Applicant(s)

ARAGONES ET AL.

Art Unit

2123

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 2-8-2008.
2. ☒ The allowed claim(s) is/are 1-24.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some\* c) ☐ None of the:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.  
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.  
(a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached  
1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.  
(b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.  
Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

- |  |   |
|--|---|
| 1. <input type="checkbox"/> Notice of References Cited (PTO-892)   | 5. <input type="checkbox"/> Notice of Informal Patent Application                     |
| 2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | 6. <input type="checkbox"/> Interview Summary (PTO-413),<br>Paper No./Mail Date _____ |
| 3. <input checked="" type="checkbox"/> Information Disclosure Statements (PTO/SB/08),<br>Paper No./Mail Date <u>2/8/2008</u> | 7. <input type="checkbox"/> Examiner's Amendment/Comment                              |
| 4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br>of Biological Material                   | 8. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance  |
|  | 9. <input type="checkbox"/> Other _____   |

### REASONS FOR ALLOWANCE

1. Claims 1-24 are allowed.

#### Examiner's Reasons for Allowance

2. The following is an examiner's statement of reasons for allowance:

While U.S. Patent 6,408,259 to Goebel et al. and U.S. Patent 6,216,066 to Goebel et al. and using 259' as an example, teach an engine database (Figure 1 item 16), a preprocessor (Figure 1 item 17), a diagnostics function which predicts a trend (Figure 1 item 18 and the descriptive text and Figure 11), and further describe comparing data between a plurality of engines and to a baseline (see Figure 2 and Col. 4 lines 32-67 and Col. 3 lines 1-3), **none of these reference taken alone or in combination with the prior art of record disclose, an engine baseline modeling component that builds an engine baseline model, an engine *service* database and a model diagnostics component, Specifically including:**

(claim 1) "an engine baseline modeling component that builds an engine baseline model from preprocessed data..." and "...a model diagnostics component..." and "an engine service database...",

(claim 5) "an engine baseline modeling component that builds an engine baseline model from preprocessed data..." and "...a model diagnostics component..." and "an engine service database...",

(claim 9) "building an engine baseline model from preprocessed data..." and "a service database...",

(claim 13) "an engine baseline model component from preprocessed data..." and "an engine service database...",

Art Unit: 2123

(claim 17) "one or more instructions for building an engine baseline model from preprocessed data..." and one or more instructions for storing engine data in an engine service database...",

(claim 21) "one or more instructions for building a baseline model from the preprocessed data..." and "one or more instructions for storing engine data in an engine service database...", **in combination with the remaining elements and features of the claimed invention.** Further and in regards to Goebel et al. the Examiner notes that this reference is a teaching under 35 U.S.C. 102(e) and further that this reference could not be combined with another teaching in an obviousness type of rejection because of the 35 U.S.C. 103 (c) requirement.

**2.1** Dependent claims 2-4, 6-8, 10-12, 14-16, 18-20 and 22-24 are allowed for at least the reason that they depend upon an allowed base claim.

**2.2** Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

### ***Conclusion***

**3.** Any inquiry concerning this communication or earlier communications from the examiner should be directed to DWIN M. CRAIG whose telephone number is (571)272-3710. The examiner can normally be reached on 10:00 - 6:00 M-F.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Paul L. Rodriguez can be reached on (571) 272-3753. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2123

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Dwin McTaggart Craig  
AU 2123

/Paul L Rodriguez/  
Supervisory Patent Examiner,  
Art Unit 2123

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number		10707657
	Filing Date		2003-12-30
	First Named Inventor	James Kenneth Aragones	
	Art Unit	2123	
	Examiner Name	Dwin M. Craig	
	Attorney Docket Number	RD28217-2	

## U.S. PATENTS

Remove

Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1	4215412		1980-07-29	Bernier et al.	
	2	5050081		1991-09-17	Abbott et al.	
	3	5080458		1992-01-14	Hockaday	
	4	5197127		1993-03-23	Waclawsky et al.	
	5	5408412		1995-04-18	Hogg et al.	
	6	5687082		1997-11-11	Rizzoni	
	7	6003808		1999-12-21	Nguyen et al.	
	8	6047593		2000-04-11	Scher et al.	



**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
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/DC/	9	6125312		2000-09-26	Nguyen et al.	
	10	6151582		2000-11-21	Huang et al.	
	11	6216066		2001-04-10	Goebel et al.	
	12	6223143		2001-04-24	Weinstock et al.	
	13	6243696		2001-06-05	Keeler et al.	
	14	6317654		2001-11-13	Gleeson et al.	
	15	6408259		2002-06-18	Goebel et al.	
	16	6487479		2007-11-26	Nelson	
	17	6487490		2002-11-26	Kamath et al.	
↓	18	6519575		2003-02-11	Goebel	
/DC/	19	6591182		2003-07-08	Cece et al	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

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Examiner Name	Dwin M. Craig
Attorney Docket Number	RD28217-2

/DC/	20	6601015		2003-07-29	Milvert et al.	
	21	6606580		2003-08-12	Zedda et al.	
	22	6631384		2003-10-07	Richman et al.	
	23	6799154		2004-09-28	Aragones et al.	
	24	6832205		2004-12-14	Aragones et al.	
	25	7031878		2006-04-18	Cuddihy et al.	
	26	5075881		1991-12-24	Blomberg et al.	
/DC/	27	5189606		1993-02-23	Burns et al.	

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Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
/DC/	1	20010032109		2001-10-18	Gonyea et al.	

**INFORMATION DISCLOSURE  
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Attorney Docket Number	RD28217-2

/DC/	2	20020173897		2002-11-21	Leamy et al.	
/DC/	3	20030034995		2003-02-20	Osborn et al.	
/DC/	4	20030045992		2003-03-06	Humerickhouse et al.	
/DC/	5	20040172228		2004-09-02	Aragones	

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**FOREIGN PATENT DOCUMENTS**

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**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
/DC/	1	R. A. Johnson et al., "Multivariate Linear Regression Models," Applied Multivariate Statistical Analysis, Chapter 7, 1988, pages 273-339.	<input type="checkbox"/>
/DC/	2	B. Curtis et al., "Process Modeling," Association for Computing Machinery, Communications of the ACM, September 1992, pages 75-90.	<input type="checkbox"/>

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	Art Unit	2123	
	Examiner Name	Dwin M. Craig	
	Attorney Docket Number	RD28217-2	

/DC/	3	M. A. Schuldt et al., "Alternative Approaches to Baseline Estimation Using Calibrated Simulations," ASHRAE Transactions, 1998, pages 871-879.	<input type="checkbox"/>
If you wish to add additional non-patent literature document citation information please click the Add button <input type="button" value="Add"/>			
<b>EXAMINER SIGNATURE</b>			
Examiner Signature	/Dwin Craig/ (05/07/2008)		Date Considered
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.			
<small> <sup>1</sup> See Kind Codes of USPTO Patent Documents at <a href="http://www.USPTO.GOV">www.USPTO.GOV</a> or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.         </small>			

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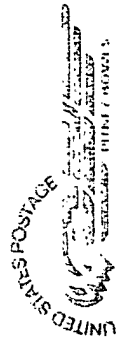
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